

DEPARTMENT OF TRANSPORTATION

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March 15, 2011

Mr. Leslie T. Rogers
Federal Transit Administration, Region IX
Office of Program Management and Oversight
201 Mission Street, Suite 1650
San Francisco, CA 94105

Dear Mr. Rogers:

Please find the enclosed California Department of Transportation (Caltrans) Fourth Corrective Actions report on the Federal Transit Administration's (FTA) State Management Review (SMR) for the March 16, 2011, timeframe.

The SMR examined 25 review areas resulting in no deficiencies in 15 areas. Of the original ten review areas with a deficiency finding, six have been closed by the FTA.


The four remaining review areas are:

Review Area 1:	Program Management
Review Area 7:	Satisfactory Continuing Control
Review Area 15:	Title VI
Review Area 24:	ITS Architecture

Caltrans has prepared an updated Action Plan for these four review areas that outlines the significant progress the Department has made, and continues to make, toward bringing these remaining open review areas into full compliance. We look forward to completing our Action Plan so that these four review areas can be closed in the timeframes identified.

Please contact Kimberly Gayle, Office Chief, Federal Transit Grants Programs, at (916) 654-8074 for any further assistance.

Sincerely,


CINDY McKIM
Director

Enclosure

**CALIFORNIA DEPARTMENT OF TRANSPORTATION (CALTRANS)
MONTHLY STATE MANAGEMENT REVIEW STATUS UPDATE
CORRECTIVE ACTIONS
FEBRUARY 2011**

Review Area	Finding	Deficiency	Corrective Action	Response Due	Caltrans Action Plan	Status
1. Program Management	Deficient	SMP Out of date/Incomplete	Caltrans must submit to the FTA Region IX Office a final State Management Plan for its Section 5311 program that includes all the required areas and reflects the public comment process.	March 16, 2011 Extended to September 30, 2011	Caltrans developed a Request for Offer (RFO) and selected a contractor/consultant to update and complete the Division of Mass Transportation's 5310, 5311, and the JARC/NF 5316/5317 Grant Program State Management Plans (SMPs). These SMPs will include all the required areas and will also include the public comment process. This RFO was released in January 2011, final submissions were received in February 2011. The target contract award date is March 2011. The target contract completion date will be the end of September 2011.	In Progress

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Review Area	Finding	Deficiency	Corrective Action	Response Due	Caltrans Action Plan	Status
7. Satisfactory Continuing Control	Deficient	Inadequate control of real property. Inadequate control of equipment.	Caltrans must submit to the FTA Region IX Office a comprehensive list of all facilities funded with Section 5311 funds and a timetable to update its Section 5311 equipment Records.	March 16, 2011 Extended to December 31, 2011	<p>The Inventory Control RFO and proposal package were approved by the Department of General Services (DGS), and the RFO/Purchase Order Contract was awarded to System Metrics Group, Inc. (SMG) on December 27, 2010.</p> <p>A kick-off meeting was held with SMG on January 6, 2011. Two meetings were held in February 2011 where SMG presented draft deliverable of inventory spreadsheet, one of the meetings was an on-line webinar to go through the spreadsheet and go over Q&A. As part of the Inventory Control project, SMG will develop monitoring procedures that will maintain a current inventory of FTA funded equipment and real property.</p> <p>The target completion date for the Inventory Control project is July, 2011.</p>	In Progress

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15. Title VI	Deficient	Other: Program does not comply with circular	Caltrans must submit to the FTA Region IX Civil Rights Officer a Title VI Program that conforms to FTA Circular 4702.1A.	August 16, 2010 Extended to March 16, 2011	Caltrans' Office of Business and Economic Opportunity (OBO), External Equal Opportunity Program is currently updating the Department's Title VI plan. The DMT has provided program-specific information to the OBO, for inclusion in the Title VI Plan Update.	Completed

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Review Area	Finding	Deficiency	Corrective Action	Response Due	Caltrans Action Plan	Status
24. ITS Architecture	Deficient	Projects not included in Regional ITS Architecture	Caltrans must submit to the FTA Region IX Office documentation that its subrecipients' ITS projects are included in a Regional ITS Architecture	March 16, 2011 December 31, 2011	<p>Caltrans has developed an ITS form for subrecipient agencies to sign, certifying that ITS projects are included in the Regional ITS Architecture Plan.</p> <p>Caltrans has recently revised their 5311 grant application to include the ITS Plan certification form, beginning in the next funding cycle for FY 2011. The Sections 5316 and 5317 branch requires the completion of ITS compliance plan for all IT and ITS related equipment purchases.</p> <p>Caltrans is collecting and reviewing ITS-related equipment information and following up on ITS plans with 5311 program subrecipients. Target completion date is March 2011.</p> <p>The Request for Offer (RFO) for the ITS Rural/Non-Urban Transit Statewide Plan project was released to 12 potential bidders on 2/11/11. Bid proposals are due to Caltrans on 3/9/11. The anticipated contract award date is 3/25/11, and the anticipated start date is 4/1/11. The contract term will be for 6 months.</p> <p>The target completion date of this project is September 30, 2011.</p>	<p>Completed</p> <p>I Completed</p> <p>In Progress</p> <p>In Progress</p>